

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : Steven M.H. WALLMAN
Serial No. : 09/038,158
Filed : 11 March 1998
For : METHOD AND APPARATUS FOR ENABLING
SMALLER INVESTORS OR OTHERS TO CREATE
AND MANAGE A PORTFOLIO OF SECURITIES OR
OTHER ASSETS OR LIABILITIES ON A COST-
EFFECTIVE BASIS
Group Art Unit : 2773
ASSISTANT COMMISSIONER
FOR PATENTS
Washington, DC 20231

**INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97 & § 1.98**

SIR:

In accordance with Applicants' duty of disclosure under 37 C.F.R. § 1.56(a) and § 1.97(b) (3), the references listed on the attached form PTO-1449 are hereby brought to the Examiner's attention.

Since all the references are in the English language, no statement of relevancy is required. A copy of each cited reference is also enclosed.

It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear in the "references cited" on any patent to issue therefrom.

Respectfully submitted,

KENYON & KENYON


Michael N. Haynes
Registration No. 40,014

Date: June 9, 2000

KENYON & KENYON
1500 K Street, N.W., Suite 700
Washington, D.C. 20005-1257
(202) 220-4247 (202) 220-4201 (fax)

LAW OFFICES OF
KENYON & KENYON
1500 K STREET, N.W., SUITE 700
WASHINGTON, DC, 20005-1257
202-220-4200
FAX: 202-220-4201

FACSIMILE COVER SHEET

TO: *Exxon J. M. Calve*

FAX: *703-308-7769*

PHONE: *703-308-1884*

FROM: **Michael N. Haynes**

FAX: **202-220-4201**

PHONE: **202-220-4247**

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INVENTOR(S): **Steven M. H. WALLMAN**

SERIAL NO.: **09/038,158**

FILED: **March 11, 1998**

TITLE: METHOD AND APPARATUS FOR ENABLING SMALLER INVESTORS OR OTHERS TO CREATE AND MANAGE A PORTFOLIO OF SECURITIES OR OTHER ASSETS OR LIABILITIES ON A COST-EFFECTIVE BASIS

PAPERS FILED:

- 1. INFORMATION DISCLOSURE STATEMENT;
PTO FORM 1449 (64 REFERENCES).**



Michael Haynes/JI

10392/46001

June 9, 2000